PTO/SB/05 (03-01)
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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	9842-321-999	Total Pages	33
	First Named Inventor or Application Identifier			
	Joel Gilbert			
	Express Mail Label No.	EV 313 841 339 US		

15915 U.S. PTO
10/629891
072903

APPLICATION ELEMENTS
See MPEP chapters 600 concerning utility patent application contents.

Address to:
Commissioner for Patents
P.O. Box 1450
Mail Stop PATENT APPLICATION
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form
   (Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims Small Entity status, see 37 C.F.R. § 1.27

3. ☒ Specification   [Total Pages 24

   (preferred arrangement set forth below, MPEP 1503.01)
   - Descriptive title of the Invention
   - Cross Reference to Related Applications
   - Statement Regarding Fed sponsored R&D
   - Reference to Microfiche Appendix
   - Background of the Invention
   - Brief Summary of the Invention
   - Brief Description of the Drawings (if filed)
   - Detailed Description of the Invention (including drawings, if filed)
   - Claim(s)
   - Abstract of the Disclosure

4. ☒ Drawing(s) *(35 USC 113)*   [Total Sheets 4]

5. ☒ Oath or Declaration   [Total Sheets 2]

   a. ☐ Newly executed (original or copy)

   b. ☐ Copy from a prior application (37 CFR 1.63(d))
      (for continuation/divisional with Box 18 completed)

   i. ☐ DELETION OF INVENTOR(S)
      Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*

   a. ☐ Computer Readable Form (CRF)

   b. ☐ Specification Sequence Listing on:
      i. ☐ CD-ROM or CD-R (2 copies); or
      ii. ☐ paper

   c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement   ☐ Power of Attorney
    (when there is an assignee)

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure Statement (IDS)/PTO-1449   ☐ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503)
    (Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)
    (if foreign priority is claimed)

16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or it's equivalent

17. ☐ Other:

18. If a CONTINUING APPLICATION, *check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:*

☐ Continuation   ☐ Divisional   ☐ Continuation-in-part (CIP) | of prior application No.: _____ filed _____

Prior application information: Examiner: _____   Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number   24341 *Insert Customer No. or Attach bar code label here)*   or ☐ Correspondence address below

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

CAI: 350467.1

PENNIE & EDMONDS LLP
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ATTORNEY DOCKET NO. 9842-321-999   Date: July 29, 2003

Commissioner for Patents
P.O. Box 1450
Mail Stop PATENT APPLICATION
Alexandria, VA 22313-1450

Sir:

The following utility patent application is enclosed for filing:

Applicant(s):   Joel Gilbert and William M. Smith   Executed on:

Title of Invention: Method and Apparatus for Trading Energy Commitments

PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE	
Total Claims	25	- 20	5	$18.00 each	$	90
Independent	5	- 3	2	$84.00 each	$	168

Minimum Fee	$	750
Multiple Dependency Fee If Applicable ($280.00)	$	0
Total	$	1008
Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern	$	0
Total Filing Fee	$	1008

[   ] **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

[   ] Priority of application no. filed on is claimed under 35 U.S.C. § 119.

[   ] The certified copy of the priority application has been filed in application no. filed on .

[   ] Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed on .

Please charge the required fee to Pennie & Edmonds LLP Deposit Account 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

David R. Owens
PENNIE & EDMONDS LLP

40,745
Reg No.

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.